

13670

PCT/PTO 14 FEB 2002

FORM PTO-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

ATTORNEY DOCKET NUMBER IN-5555	U.S. APPLICATION NO (IF KNOWN SEE 37 RR 15) 10/049606	
INTERNATIONAL APPLICATION NO. PCT/EP00/07990	INTERNATIONAL FILING DATE 16. August 2000 (16.08.2000)	PRIORITY DATE CLAIMED 16. August 1999 (16.08.1999)

**TITLE OF INVENTION: COATING MATERIAL AND ITS USE FOR PRODUCING HIGHLY SCRATCH RESISTANT
MULTILAYER TRANSPARENT LACQUERS****APPLICATION(S) FOR DO/EO/US: Ulrike RÖCKRATH, Hubert BAUMGART, Andrea ZUMBRINK, Stefan SILBER and
Thomas FARWICK****Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:**


1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371 (b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ have been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(C)(2)).
7. ☒ Amendment to the claims of the International Application under PCT Article 19 (35 U.S.C.371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annex to the International Preliminary Examination Report under PCT Article 36


Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A Change of power of attorney and/or address letter.
16. ☒ Other items or information:

A copy of the cover sheet from the PCT Published Application**A copy of the cover sheet from the Priority Document**

I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. **EH799045260US** addressed to the Commissioner for Patents, Washington, DC 20231 on February 14, 2002.


Marjorie Ellis

U.S. APPLICATION NO. (If known see 37 C.F.R. 1.50) 10/049606		INTERNATIONAL APPLICATION NO. PCT/EP00/07990		ATTORNEY'S DOCKET NUMBER IN-5555	
17. <input checked="" type="checkbox"/> The following fees are submitted				CALCULATIONS PTO USE ONLY	
Basic National Fee (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) Nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....				\$970.00	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....				\$890.00	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.44(a)(2)) paid to USPTO.....				\$690.00	
International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4).....				\$670.00	
International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)				\$ 96.00	
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$890.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
Claims	Number Filed	Number Extra	Rate		
Total Claims	20 - 20 =	0	X \$ 18.00	\$	
Independent claims	01 - 03 =	0	X \$ 84.00	\$	
Multiple dependent claims(s) (if applicable)			+ \$280.00	\$	
TOTAL OF ABOVE CALCULATION =				\$890.00	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				\$	
SUBTOTAL =				\$890.00	
Processing fee of \$130.00 for furnishing the English translation later the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$890.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 40.00	
TOTAL FEES ENCLOSED =				\$930.00	
				Amount to be:	
				refunded	
				Charged	
				\$930.00	
a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 23-3425 in the amount of \$930.00 to cover the above fees A triplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-3425 . A triplicate copy of this sheet is enclosed.					
NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
SEND ALL CORRESPONDENCE TO:					
BASF CORPORATION Patent Department 26701 Telegraph Road Southfield, Michigan 48034-2442 (248) 948-2355 Customer No. 26922			 SIGNATURE Michael F. Morgan Name 42,906 REGISTRATION NUMBER		

PATENT

(Practitioner's Docket No. IN- 5555)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Ulrike RÖCKRATH, ET AL.

Serial No.: This application is a National
Phase of Patent Application
PCT/EP00/07990 filed 16. August 2000.

Group Art Unit: Not Assigned

Filed: Thursday, February 14, 2002

Examiner: Not Assigned

For: COATING MATERIAL AND ITS USE FOR PRODUCING HIGHLY SCRATCH
RESISTANT MULTILAYER TRANSPARENT LACQUERS

Patent*: Issue Date

Reexamination No.: Issue Date

Reissue: Issue Date

*NOTE: Insert name(s) of inventor(s) and title for patent.

Assistant Commissioner for Patents
Washington, D.C. 20.231

**STATEMENT UNDER 37 C.F.R. § 3.73(b)-
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION**

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10*
(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING

☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner
for Patents, Washington, D.C. 20231

37 C.F.R. § 1.8(a)**37 C.F.R. § 1.10***

☐ with sufficient postage as first class mail.

☐ as "Express Mail Post Office to Addressee"
Mailing Label No: E US (mandatory)

TRANSMISSION

☐ transmitted by facsimile to the Patent and Trademark Office.

Signature

Marjorie Ellis

Date: February 14, 2002

(type or print name of person certifying)

(Statement under 37 C.F.R. § 3.73(b) - Establishing Right of Assignee to Take Action [16-16]-page1)

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

IDENTIFICATION OF ASSIGNEE

BASF COATINGS AG

2. _____
Name of assignee
CORPORATION

Type of assignee, e.g., corporation, partnership, university, government agency, etc.

PERSON(s) AUTHORIZED TO SIGN

3. Michael F. Morgan, 42,906
(type name of person authorized to sign on behalf of assignee)
Attorney

Title of person authorized to sign

3a. Mary E. Golota, 36,814
(type name of person authorized to sign on behalf of assignee)
Senior Attorney

Title of person authorized to sign

(complete the following, if applicable)

☒ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

BASIS OF ASSIGNEE'S INTEREST

Ownership by the assignee is established as follows:

A.

1. ☐ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at

Reel _____, Frame _____.

2. ☒ An assignment (document) separately being submitted for recordal herewith.

AND/OR

B.

1. ☐ A chain of title from the inventor(s) to the current assignee as shown below:

1. From: _____
Name of inventor(s)

To: _____

Recorded in PTO:

Reel _____ Frame _____

(Statement under 37 C.F.R. § 3.73(b) - Establishing Right of Assignee to Take Action [16-16]--page 2)

(check item below, and add details, if applicable)

☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.**COPIES OF DOCUMENTS IN CHAIN OF TITLE**

(complete this item, if copies are being sent)

☐ Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:☐ A☐ 1☐ 2☐ B☐ 1.☐ 2☐ 3.

Reg. No.: 42,906

Michael Morgan
SIGNATURE OF ATTORNEYMichael F. Morgan
Type or print name of attorney

Tel. No.: (248) 948-2355

BASF Corporation
26701 Telegraph Road
P.O. AddressSouthfield, Michigan 48034-2442

Customer No. 26922

PATENT

(Practitioner's Docket No. IN- 5555)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Ulrike RÖCKRATH, et al.

Serial No.: This application is a National
Phase of Patent Application
PCT/EP00/07990 filed 16. August 2000.

Group Art Unit: Not Assigned

Filed: Thursday, February 14, 2002

Examiner: Not Assigned

For: COATING MATERIAL AND ITS USE FOR PRODUCING HIGHLY SCRATCH
RESISTANT MULTILAYER TRANSPARENT LACQUERS

Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EH799045260US

Date of Deposit

February 14, 2002

I hereby certify that the following attached paper or fee

☒

Combined Declaration and Power of Attorney

☐ 06

Page(s)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10
on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)



Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the
certification is presented on a separate sheet, that sheet must (1) **be signed** and (2) **fully identify and be securely attached to the paper or fee it
accompanies**. identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

*complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the
application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.*

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such
as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the
label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be
placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

10/049370

JC15 Rec'd PCT/PTO 14 FEB 2002

PATENT

(Practitioner's Docket No. IN- 5555)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Ulrike RÖCKRATH, et al.

Serial No.: This application is a National
Phase of Patent Application
PCT/EP00/07990 filed 16. August 2000.

Group Art Unit: Not Assigned

Filed: Thursday, February 14, 2002

Examiner: Not Assigned

For: COATING MATERIAL AND ITS USE FOR PRODUCING HIGHLY SCRATCH
RESISTANT MULTILAYER TRANSPARENT LACQUERS

Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE"Express Mail" label number EH799045260US

Date of Deposit

February 14, 2002

I hereby certify that the following attached paper or fee

☒ X

Cover page of Published PCT-application


☐ 01

Page(s)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10
on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)



Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT

(Practitioner's Docket No. IN- 5555)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Ulrike RÖCKRATH, et al.

Serial No.: This application is a National
Phase of Patent Application
PCT/EP00/07990 filed 16. August 2000.

Group Art Unit: Not Assigned

Filed: Thursday, February 14, 2002

Examiner: Not Assigned

For: COATING MATERIAL AND ITS USE FOR PRODUCING HIGHLY SCRATCH
RESISTANT MULTILAYER TRANSPARENT LACQUERS

Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE"Express Mail" label number **EH799045260US**

Date of Deposit

February 14, 2002

I hereby certify that the following attached paper or fee

☒ English Application PCT/EP00/07990

Specification on	82	pages;	claims on	11	pages;
the abstract on	01	page(s);	drawings on		page(s).

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)



Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT

(Practitioner's Docket No. IN- 5555)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Ulrike RÖCKRATH, et al.

Serial No.: This application is a National
Phase of Patent Application
PCT/EP00/07990 filed 16. August 2000.

Group Art Unit: Not Assigned

Filed: Thursday, February 14, 2002

Examiner: Not Assigned

For: COATING MATERIAL AND ITS USE FOR PRODUCING HIGHLY SCRATCH
RESISTANT MULTILAYER TRANSPARENT LACQUERS

Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EH799045260US Date of Deposit February 14, 2002

I hereby certify that the following attached paper or fee

☒ German Application PCT/EP00/07990
Specification on pages; claims on pages;
the abstract on page(s); drawings on page(s).

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10
on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)



Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the
certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it
accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the
application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such
as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the
label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be
placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

10/049606

JC12 Rec'd PCT/PTO 14 FEB 2002

PATENT

(Practitioner's Docket No. IN- 5555)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Ulrike RÖCKRATH, et al.

Serial No.: This application is a National
Phase of Patent Application
PCT/EP00/07990 filed 16. August 2000.

Group Art Unit: Not Assigned

Filed: Thursday, February 14, 2002

Examiner: Not Assigned

For: COATING MATERIAL AND ITS USE FOR PRODUCING HIGHLY SCRATCH
RESISTANT MULTILAYER TRANSPARENT LACQUERS

Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE"Express Mail" label number EH799045260US

Date of Deposit

February 14, 2002

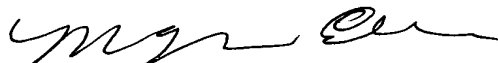
I hereby certify that the following attached paper or fee

X	Information Disclosure Statement
X	From PTO-1449
X	Cited References
X	International Search Report

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)



Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.